

CITY OF BURLINGAME**POLICY MANUAL**

SUBJECT	ISSUED BY	EFFECTIVE DATE
RECORD RETENTION POLICY	CITY COUNCIL	MARCH 6, 2006

POLICY STATEMENT:

This policy is to help guide City staff as to the proper length of time to retain records pertaining to the business of the City.

1. Ensures that records of the City are retained for the proper length of time.
2. Ensures that records that must be destroyed are taken care of properly.
3. Helps ensure that adequate space is available for records that must be retained.

Failure to comply with this policy may result in disciplinary action up to and including dismissal from the service of the City.

PROCEDURE:

Records of the City shall be kept in compliance with the following standards. If records kept by the City do not fall into any of the below categories, the information shall be kept determined by staff to be of no more assistance and may be destroyed.

1. Accident Reports

Documents related to accidents occurring in, on, or around the city office's and/or facilities.

Minimum Retention: 5 calendar years

Disposition: destroy

Restrictions: 5 USC 552(a)

Date Approved: 03/06/06

2. Accounts Payable Records

Documents related to payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.

Minimum Retention: 3 fiscal years

Disposition: Destroy

Comments: See also Ledgers - General, Vouchers and Requisitions-Purchase, Vendor Files, Bid Records, and Purchasing Records

Restrictions: None

Date Approved: 03/06/06

3. Accounts Receivable Records

Documents related to the collection of payments due the office: copies of invoices, correspondence, etc.

Minimum Retention: 3 fiscal years after last payment is received.

Disposition: Destroy

Restrictions: None

Date Approved: 03/06/06

4. Annual and Special Reports

General and specific reports on office activities.

Minimum Retention: Permanent

Disposition: N/A

Restrictions: None

Date Approved: 03/06/06

5. Architectural Plans, Drawings, Maps, and Specifications

Records documenting the physical plant of the offices and/or buildings owned or occupied by the local government.

Minimum Retention: see comments

Disposition: permanent

Comments: Retain until no longer useful, then transfer one copy to permanent storage and contact the local historical society for interest in retaining an extra copy.

Restrictions: Portions per KSA 45-221(a)(12)

Date Approved: 03/06/06

6. Audit Reports

Results of audits conducted by local, state, federal and/or non-governmental auditing agencies.

Minimum Retention: see comments

Disposition: permanent

Comments: Retain in office until no longer useful; then transfer to permanent storage.

Restrictions: None

Date Approved: 03/06/06

7. Banking Records

Bank statements, deposit books and slips, check registers, and canceled checks.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

8. Bid Records

Documents related to requests for proposals, bids, quotations, or estimates.

Minimum Retention: 5 fiscal years

Disposition: destroy

Comments: See also Purchasing Records, Vouchers and Requisitions, Accounts Payable Records, Contracts, and Vendor Files.

Restrictions: None

Date Approved: 03/06/06

9. Budget Preparation Files - Annual

Documents used in the preparation of the annual office budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until audit completed, then destroy.

Restrictions: None

Date Approved: 03/06/06

10. Building and Grounds Maintenance Records

Documents associated with repairs and other maintenance to the physical plant of office - does not include Work Orders and Logs (q.v.).

Minimum Retention: see comments

Disposition: see comments

Comments: Retain records of minor maintenance activities for 3 fiscal years, and then destroy. Retain records of major maintenance activities permanently.

Restrictions: None

Date Approved: 03/06/06

11. Capital Improvement Projects Files

Records related to construction projects: correspondence, bids, specifications, plans, drawings, reports, notes, etc.

Minimum Retention: permanent

Disposition: permanent

Comments: See also Architectural Plans, Drawings, and Specifications.

Restrictions: None

Date Approved: 03/06/06

12. Committee Files

Records relating to the establishment, organization, membership, policies, activities and accomplishments of internal, interoffice, and advisory committees.

Minimum Retention: permanent

Disposition: permanent

Comments:

Restrictions: None

Date Approved: 03/06/06

13. Computer Software Licensing Files

Documents proving the licensure and implementation of computer software programs by the agency.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain 5 calendar years after the contract or end user license agreement (EULA) has expired or 5 calendar years after the software is no longer installed, then destroy.

Restrictions: None

Date Approved: 03/06/06

14. Contracts

Legal agreements with individuals and organizations. Includes all associated documents.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until expiration of contract plus 5 calendar years or 5 calendar years after conclusion of any court case, then destroy. See also Purchasing Records, Vendor Files, Accounts Payable Records, Bid Records, and Vouchers and Requisitions.

Restrictions: None

Date Approved: 03/06/06

15. Correspondence - Routine

Incoming and outgoing letters and memoranda which pertain only to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until no longer useful, then destroy.

Restrictions: None

Date Approved: 03/06/06

16. Deeds for Real Estate

Legal documents pertaining to the ownership of real property by the office.

Minimum Retention: permanent

Disposition: permanent

Comments: Retain in Register of Deeds Office.

Restrictions: None

Date Approved: 03/06/06

17. Employee Notary Files

Notary certification files compiled on employees.

Minimum Retention: see comments

Disposition: see comments

Comments: Proof of certification is part of the Employee Personnel File.

These files are the convenience copy. Retain information until superseded, or 3 calendar years, then destroy.

Restrictions: None

Date Approved: 03/06/06

18. Employee Personnel Files

Documents associated with the employment of specific personnel: employee evaluation forms, applications for employment, background checks, and other personnel materials.

Minimum Retention: See comments

Disposition: Destroy

Comments: Retain in office for length of employee's tenure plus 3 calendar years (5 calendar years for contract employees). Purge documents to create abstracted work history (appointment data and change of status information), transfer to inactive storage for 62 calendar years, and then destroy.

Restrictions: Portions under KSA 45-221(a)(4)

Date Approved: 03/06/06

19. Employee Position Descriptions

Formal descriptions of duties and other characteristics of particular employment positions. Includes supporting documents.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until superseded plus 3 years, and then destroy.

Restrictions: None

Date Approved: 03/06/06

20. Employee Time Report Records

Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.

Minimum Retention: 5 fiscal years

Disposition: destroy

Comments: See also Leave Requests.

Restrictions: KSA 45-221(a)(4)

Date Approved: 03/06/06

21. Employee Training Course Materials

Record copy of manuals, syllabi, textbooks and other training aids created for office sponsored employee training programs.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain one copy permanently and destroy the remainder.
See also Employee Training Records.

Restrictions: None

Date Approved: 03/06/06

22. Employee Training Records

Correspondence, reports, and other records relating to the operation of office sponsored training programs and to employee participation in training programs sponsored by external organizations.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain 5 calendar years or until superseded, whichever is sooner, then destroy. See also Employee Training Course Materials.

Restrictions: None

Date Approved: 03/06/06

23. Employee Withholding Allowance Certificates

Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until no longer in effect, then destroy provided four years have passed since date tax was due or paid (whichever is later).

Restrictions: None

Date Approved: 03/06/06

24. Employment Applications - Not Hired

Applications and supplementary materials, including background checks, submitted by unsuccessful applicants for employment.

Minimum Retention: 3 calendar years

Disposition: Destroy

Comments:

Restrictions: Portions under KSA 45-221(a)(4)

Date Approved: 03/06/06

25. Equal Employment Opportunity Grievance Files

Documents related to discrimination charges concerning employment made against an office and subsequent investigations.

Minimum Retention: see comments

Disposition: permanent

Comments: Retain 5 years after grievance is settled, then transfer to permanent storage.

Restrictions: KSA 45-221(a)(11)&(25)

Date Approved: 03/06/06

26. Equipment Maintenance and Ownership Records

Documents related to the legal ownership and maintenance of office equipment: legal titles, warranties, maintenance logs, etc.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain for the life of the equipment, then transfer to the new owner of the equipment or destroy as appropriate. See also Equipment Operation Records, and Vehicle Ownership and Maintenance Records.

Restrictions: None

Date Approved: 03/06/06

27. Grant Files

Variety of documents dealing with applications for federal, state, and private grants and the implementation of those received.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain 5 years after the end of the grant period, transfer original applications, contracts, agreements, & annual and final performance reports to permanent storage and destroy remaining documents.

Restrictions: None

Date Approved: 03/06/06

28. Grant Files - Unfunded

Applications and supporting documentation relating to federal, state, and private grants submitted by local entities which were not funded.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until no longer useful, and then destroy.

Restrictions: None

Date Approved: 03/06/06

29. Hearing and Meeting Transcripts and Electronic Media Recordings

Records of public hearings and other meetings: transcripts, audiotapes, videotapes, notes, etc.

Minimum Retention: Retain until no longer useful Disposition: destroy

Comments: Tapes can be reused

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

30. Income Tax Monitoring Files

Work papers, logs, reconciliations and payment logs possibly through accounting software and payment vouchers to ensure proper accounting and compliance of income tax reported to federal and state governments.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain 4 calendar years after date tax was due or paid, then destroy.

Restrictions: None

Date Approved: 03/06/06

31. Insurance Policies

Documents such as insurance policy terms and binders.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain until canceled or expired, plus 5 calendar years.

Retain reinsurance policy and carrier information until all claims have been settled.

Restrictions: None

Date Approved: 03/06/06

32. Internal Revenue Service W-2 Tax Files

Agency copy of employee Wages and tax statements maintained by the office or payroll processor.

Minimum Retention: 004 calendar years

Disposition: destroy

Comments:

Restrictions: Portions may be restricted

Date Approved: 03/06/06

33. Kansas Public Disclosure Commission Statements of Substantial Interest

Office copies of statements of substantial interest requested on a yearly basis and filed with the Secretary of State's office.

Minimum Retention: 1 calendar yr

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

34. Leases - Real Property and Capital Equipment

Documents related to the leasing of real estate and equipment.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until superseded or inactive plus 5 calendar years, and then destroy.

Restrictions: None

Date Approved: 03/06/06

35. Ledgers - General

General records of financial receipts and expenditures normally used to monitor, manage, and verify office budget.

Minimum Retention: see comments.

Disposition: permanent

Comments: This series includes only internal documents. Retain in office 5 years, and then transfer to permanent storage.

Restrictions: None

Date Approved: 03/06/06

36. Legal/Public Notices

Announcements appropriately published to notify the general public of an auction, legal proceeding, election, etc.

Minimum Retention: 005 calendar years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

37. Material Safety Data Sheets

Documents relating to the precautions taken for the safe handling of the various hazardous chemicals used in the routine operation of the facility.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until superseded or hazardous chemical is no longer on site, and then destroy as required by 29 CFR 1910.1200.

Restrictions: None

Date Approved: 03/06/06

38. Memoranda of Understanding or Agreement - Interoffice

Formal agreements reached between state, local, and/or federal agencies.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain until agreement becomes inactive plus 5 calendar years, then destroy.

Restrictions: None

Date Approved: 03/06/06

39. Minutes

Proceedings of regular or special meetings of committees, commissions, and other standing or ad hoc organizations.

Minimum Retention: see comments

Disposition: permanent

Comments: Retain until no longer useful, then transfer to permanent storage.

Restrictions: None

Date Approved: 03/06/06

- 40. Organizational Charts and Reorganization Studies**
Records documenting planned and actual changes in an office's organizational structure over time.
Minimum Retention: see comments
Disposition: see comments
Comments: Retain records relating to major organizational changes permanently. Destroy other records when no longer useful.
Restrictions: None
Date Approved: 03/06/06
- 41. Payroll Adjustment Records**
Copies of documents and supporting materials used to make adjustments in office payroll accounts.
Minimum Retention: 3 fiscal years
Disposition: destroy
Comments: See also Payroll Deduction Authorization Records.
Restrictions: None
Date Approved: 03/06/06
- 42. Payroll Deduction Authorization Records - General**
Documents used to authorize various deductions from an employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.
Minimum Retention: see comments
Disposition: destroy
Comments: Retain until superseded or no longer in effect plus 1 calendar year, then destroy. This schedule does not apply to W-4 forms (q.v.) or Payroll Direct Deposit Authorization Record (q.v.).
Restrictions: KSA 45-221(a)(4)
Date Approved: 03/06/06
- 43. Payroll Warrant Registers**
Monthly listing of warrant checks issued to office employees for payroll purposes.
Minimum Retention: 3 fiscal years
Disposition: destroy
Comments:
Restrictions: None
Date Approved: 03/06/06
- 44. Petty Cash Records**
Documents related to petty cash accounting.
Minimum Retention: 3 fiscal years
Disposition: destroy
Comments:
Restrictions: None
Date Approved: 03/06/06

45. Photographic and Video Materials

Photo-prints, negatives, slides, films, and videotapes.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain permanently materials that document governmental programs and services. Other items may be offered to local historical societies or destroyed.

Restrictions: None

Date Approved: 03/06/06

46. Policy and Procedures Manuals and Statements

Original copies of formal explanations of office policies and procedures issued in collective manual or individual statement formats.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain one copy permanently, dispose of others.

Restrictions: None

Date Approved: 03/06/06

47. Press Releases

Public information issued to the news media.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain one copy permanently, dispose of others.

Restrictions: None

Date Approved: 03/06/06

48. Programs and Invitations

Documents related to official office functions.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain permanently one copy of documents related to official functions, dispose of others.

Restrictions: None

Date Approved: 03/06/06

49. Property Disposition Records - Non-Expendable

Copies of forms and supporting documents used to remove capital equipment from the office inventory.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

50. Publications

Internally produced newsletters, pamphlets, leaflets, and brochures distributed to inform a constituency about the activities of the office.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain in office 1 year, then transfer 1 copy to permanent storage and destroy the remainder.

Restrictions: None

Date Approved: 03/06/06

51. Purchasing Records

Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments: See also Vouchers & Requisitions, Accounts Payable Records, Bid Records, Contracts, Ledgers - General, and Vendor Files.

Restrictions: None

Date Approved: 03/06/06

52. Receipts Records - Cash

Records of cash received by the office: receipt slips, receipt books, receipt ledgers, etc.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

53. Records Management Records

Documents related to the management of office records including completed survey forms, inventories, disposition and transfer records, and other miscellaneous materials such as correspondence or reference materials.

Minimum Retention: permanent

Disposition: permanent

Comments:

Restrictions: None

Date Approved: 03/06/06

54. Request for Access to Records

Documents related to requests for access to office records and office responses prepared pursuant to KSA 45-218.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until no longer useful, then destroy.

Restrictions: None

Date Approved: 03/06/06

55. Schedules - Office Activities

Internal forms and calendars used to schedule employee or office activities (calendars and appointment books, etc).

Minimum Retention: see comments

Disposition: destroy

Comments: Retain until no longer useful, then destroy.

Restrictions: None

Date Approved: 03/06/06

56. Memorabilia, Scrapbooks, and Photographic Albums

News clippings, photo albums, etc. documenting office activities.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain until no longer useful, then contact the archives for appraisal - if not accepted for transfer to the archives, then destroy.

Restrictions: None

Date Approved: 03/06/06

57. Safety Inspection Files

Documents related to routine and special safety inspections, including correspondence and follow-ups, by county offices or the State Department of Human Resources.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain county inspection files 5 calendar years, state inspection files until superseded by another inspection.

Restrictions: None

Date Approved: 03/06/06

58. Sales and Use Tax Records

Reports of retail sales and excise taxes due to the state submitted to the Department of Revenue by local governments acting as retailers with supporting documents.

Minimum Retention: 4 tax years

Disposition: destroy

Comments: A tax year equates to a period of three years from the last day of the fiscal or calendar year of the retailer/political subdivision, whichever is greater. See KSA 79-3609.

Restrictions: None

Date Approved: 03/06/06

59. Travel Request and Authorization Records

Records related to employee travel.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments: See also Travel Vouchers and Vehicle Operation Records.

Restrictions: None

Date Approved: 03/06/06

60. Vehicle Maintenance and Ownership Records

Documents related to the legal ownership and maintenance of office vehicles: maintenance logs, legal titles, warranties, etc.

Minimum Retention: see comments

Disposition: destroy

Comments: Retain for the life of the vehicle, then transfer to subsequent owner or destroy as appropriate. See also Equipment Ownership and Maintenance Records.

Restrictions: None

Date Approved: 03/06/06

61. Vehicle Operation Records

Documents related to the use of office-owned motor vehicles.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

62. Vendor Files

Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books and cards, etc.

Minimum Retention: 5 fiscal years

Disposition: destroy

Comments: Retain for 5 fiscal years. See also Vouchers & Requisitions, Purchasing Records, Bid Records, Contracts, and Accounts Payable Records.

Restrictions: None

Date Approved: 03/06/06

63. Vouchers and Requisitions - Purchase

Copies of documents used to order and pay for goods and services.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

64. Vouchers - Journal

Forms used to adjust financial account balances.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

65. Vouchers - Receipts

Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

66. Vouchers - Travel

Copies of documents used to certify the validity of claims for the reimbursement of travel expenses.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

67. Work Orders and Logs

Internal documents used to request and record requests for the performance of maintenance or other services.

Minimum Retention: 3 fiscal years

Disposition: destroy

Comments:

Restrictions: None

Date Approved: 03/06/06

68. Worker's Compensation Files

Correspondence, reports, financial records, and other records used to document a worker's compensation claim.

Minimum Retention: see comments

Disposition: see comments

Comments: Retain full and final settlement (closed) files 5 calendar years, then destroy. Retain future medical or benefit payment files (open) until closed plus 5 calendar years, then destroy.

Restrictions: Exempt from HIPAA Act Sec. 164.512(I) and (a); 5 USC 552(a); KSA 44-515(d)

Date Approved: 03/06/06

This guide is also available in hardcopy from the Library/Archives Records Management Section.

Approved By: _____
William Kraus, Mayor